

From the INTERNATIONAL BUREAU

**PCT**

NOTIFICATION OF TRANSMITTAL  
OF COPIES OF TRANSLATION  
OF THE INTERNATIONAL PRELIMINARY REPORT  
ON PATENTABILITY  
(CHAPTER I OR CHAPTER II  
OF THE PATENT COOPERATION TREATY)  
(PCT Rule 72.2)

To:

SCHAUMBURG, Karl-Heinz  
Postfach 86 07 48  
81634 München  
ALLEMAGNE

**EINGEGANGEN**

06 Sep. 2005

Erled.

Date of mailing (day/month/year)  
01 September 2005 (01.09.2005)

Applicant's or agent's file reference  
2002-1035 P

International application No.  
PCT/EP2003/011708

**IMPORTANT NOTIFICATION**

International filing date (day/month/year)  
22 October 2003 (22.10.2003)

Applicant

OCÉ PRINTING SYSTEMS GMBH et al

**1. Transmittal of the translation to the applicant.**

The International Bureau transmits herewith a copy of the English translation made by the International Bureau of the international preliminary examination report established by the International Preliminary Examining Authority.

**2. Transmittal of the copy of the translation to the elected Offices.**

The International Bureau notifies the applicant that copies of that translation have been transmitted to the following elected Offices requiring such translation:

CN

The following elected Offices, having waived the requirement for such a transmittal at this time, will receive copies of that translation from the International Bureau only upon their request:

EP, JP, US

**3. Reminder regarding translation into (one of) the official language(s) of the elected Office(s).**

The applicant is reminded that, where a translation of the international application must be furnished to an elected Office, that translation must contain a translation of any annexes to the international preliminary examination report.

**It is the applicant's responsibility to prepare and furnish such translation directly to each elected Office concerned (Rule 74.1). See Volume II of the PCT Applicant's Guide for further details.**

The International Bureau of WIPO  
34, chemin des Colombettes  
1211 Geneva 20, Switzerland

Authorized officer

Ellen Moyse

Facsimile No.+41 22 740 14 35

Facsimile No.+41 22 338 89 75

## PATENT COOPERATION TREATY



## PCT

## INTERNATIONAL PRELIMINARY EXAMINATION REPORT

(PCT Article 36 and Rule 70)

Applicant's or agent's file reference 2002-1035 P	<b>FOR FURTHER ACTION</b>	See Notification of Transmittal of International Preliminary Examination Report (Form PCT/IPEA/416)
International application No. PCT/EP2003/011708	International filing date (day/month/year) 22 October 2003 (22.10.2003)	Priority date (day/month/year) 28 October 2002 (28.10.2002)
International Patent Classification (IPC) or national classification and IPC G06F 11/22, 3/12		
Applicant OCÉ PRINTING SYSTEMS GMBH		

1. This international preliminary examination report has been prepared by this International Preliminary Examining Authority and is transmitted to the applicant according to Article 36.
2. This REPORT consists of a total of 12 sheets, including this cover sheet.
 

This report is also accompanied by ANNEXES, i.e., sheets of the description, claims and/or drawings which have been amended and are the basis for this report and/or sheets containing rectifications made before this Authority (see Rule 70.16 and Section 607 of the Administrative Instructions under the PCT).

These annexes consist of a total of 15 sheets.
3. This report contains indications relating to the following items:
  - I  Basis of the report
  - II  Priority
  - III  Non-establishment of opinion with regard to novelty, inventive step and industrial applicability
  - IV  Lack of unity of invention
  - V  Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement
  - VI  Certain documents cited
  - VII  Certain defects in the international application
  - VIII  Certain observations on the international application

Date of submission of the demand 27 May 2004 (27.05.2004)	Date of completion of this report 07 June 2005 (07.06.2005)
Name and mailing address of the IPEA/EP	Authorized officer
Facsimile No.	Telephone No.

## INTERNATIONAL PRELIMINARY EXAMINATION REPORT

International application No.

PCT/EP2003/011708

## I. Basis of the report

## 1. With regard to the elements of the international application:\*

- the international application as originally filed  
 the description:

pages \_\_\_\_\_ 1, 3-32 \_\_\_\_\_, as originally filed  
 pages \_\_\_\_\_ \_\_\_\_\_, filed with the demand  
 pages \_\_\_\_\_ 2 \_\_\_\_\_, filed with the letter of 15 December 2004 (15.12.2004)

- the claims:

pages \_\_\_\_\_ \_\_\_\_\_, as originally filed  
 pages \_\_\_\_\_ \_\_\_\_\_, as amended (together with any statement under Article 19  
 pages \_\_\_\_\_ \_\_\_\_\_, filed with the demand  
 pages \_\_\_\_\_ 1-36 \_\_\_\_\_, filed with the letter of 21 April 2005 (21.04.2005)

- the drawings:

pages \_\_\_\_\_ 1/10-10/10 \_\_\_\_\_, as originally filed  
 pages \_\_\_\_\_ \_\_\_\_\_, filed with the demand  
 pages \_\_\_\_\_ \_\_\_\_\_, filed with the letter of \_\_\_\_\_

- the sequence listing part of the description:

pages \_\_\_\_\_ \_\_\_\_\_, as originally filed  
 pages \_\_\_\_\_ \_\_\_\_\_, filed with the demand  
 pages \_\_\_\_\_ \_\_\_\_\_, filed with the letter of \_\_\_\_\_

## 2. With regard to the language, all the elements marked above were available or furnished to this Authority in the language in which the international application was filed, unless otherwise indicated under this item.

These elements were available or furnished to this Authority in the following language \_\_\_\_\_ which is:

- the language of a translation furnished for the purposes of international search (under Rule 23.1(b)).  
 the language of publication of the international application (under Rule 48.3(b)).  
 the language of the translation furnished for the purposes of international preliminary examination (under Rule 55.2 and/or 55.3).

## 3. With regard to any nucleotide and/or amino acid sequence disclosed in the international application, the international preliminary examination was carried out on the basis of the sequence listing:

- contained in the international application in written form.  
 filed together with the international application in computer readable form.  
 furnished subsequently to this Authority in written form.  
 furnished subsequently to this Authority in computer readable form.  
 The statement that the subsequently furnished written sequence listing does not go beyond the disclosure in the international application as filed has been furnished.  
 The statement that the information recorded in computer readable form is identical to the written sequence listing has been furnished.

4.  The amendments have resulted in the cancellation of:

- the description, pages \_\_\_\_\_  
 the claims, Nos. \_\_\_\_\_  
 the drawings, sheets/fig. \_\_\_\_\_

5.  This report has been established as if (some of) the amendments had not been made, since they have been considered to go beyond the disclosure as filed, as indicated in the Supplemental Box (Rule 70.2(c)).\*\*

\* Replacement sheets which have been furnished to the receiving Office in response to an invitation under Article 14 are referred to in this report as "originally filed" and are not annexed to this report since they do not contain amendments (Rule 70.16 and 70.17).

\*\* Any replacement sheet containing such amendments must be referred to under item 1 and annexed to this report.

**INTERNATIONAL PRELIMINARY EXAMINATION REPORT**

International application No.

PCT/EP 03/11708

**Supplemental Box**

(To be used when the space in any of the preceding boxes is not sufficient)

Continuation of: **Box IV.3.**

Reference is made to the following documents:

**D1: EP0843230 A, CANON Information Systems, 28 Sept  
1999, 1999-09-28**

**D2: US 5960204 A, JD Edwards World Source Company,  
20 May 1998, 1998-05-20**

**Lack of unity of invention**

The application lacks unity of invention (PCT Rule 13.1) for the following reason:

**Subject 1:**

A method for loading programme data for a graphic user interface for diagnosing a printer or copier problem (**claims 1-18**).

**Subject 2:**

A method for generating a graphic user interface for a printing or copying system (**claims 19-36**).

1. The corresponding technical features in claims 1, 17 and 19, 36 are:

"a method for transferring data from a data processing unit of a copier to an operating unit in which operating or diagnostic functions are executed in order to operate or diagnose a problem with the copier".

**Supplemental Box**

(To be used when the space in any of the preceding boxes is not sufficient)

Continuation of: **Box IV.3.**

These features are already known from D1 (column 13, lines 42 to 52; column 14, lines 39 to 49). Therefore, these features are not based on a single general inventive concept (PCT Rule 13.1).

2.

**2.1 Re. subject 1:**

D1 describes a method for loading programme data for a graphic user interface for operating and/or diagnosing a problem with an electrophotographic printer or copier (column 14, line 22 to column 15, line 11),

in which method, first data in a first memory area of a control unit of a printer or copier is transferred from the control unit to the operating unit using a browser-programme module run by an operating unit of the printer or copier (column 14, lines 2 to 10),

the first data containing at least information concerning at least one programme module required to generate operating and/or diagnostic functions (column 11, lines 32 to 37; column 12, lines 25 to 29).

**The special technical features of subject 1 which make a contribution to the prior art are as follows:**

**Supplemental Box**

(To be used when the space in any of the preceding boxes is not sufficient)

Continuation of: **Box IV.3.**

- with the aid of the operating unit it is checked whether programme data containing the required programme module is contained in a second memory area of the operating unit in which programme data can be stored and read out independently of the network address;
- when there is no programme data with the required programme module in the archive-buffer memory, programme data is transferred from a further memory area of the control unit to the operating unit and stored in the archive-buffer memory, instructions in the required programme module being carried out by the operating unit.

**2.2 Re. subject 2:**

D1 also describes a "method for generating a graphic user interface for a printing or copying system (column 13, lines 42 to 52),

2.2.1 in which method, first data for generating a graphic user interface is stored in a memory area of a first data processing unit of the printing or copying system;

2.2.2 the first data is transferred to a second data processing unit for operating the printer or copier, said second data processing unit being connected to the first data processing unit via a data line (column 14, lines 2 to 10; column 14, lines 39 to 49; figures 1 and 3),

**INTERNATIONAL PRELIMINARY EXAMINATION REPORT**

International application No.

PCT/EP 03/11708

**Supplemental Box**  
(To be used when the space in any of the preceding boxes is not sufficient)

Continuation of: Box IV.3.

2.2.3 the first data is processed by the second data processing unit;

2.3.5 the second data processing unit executes a display programme module which processes the first data (column 14, lines 11 to 21);

2.3.6 second data is stored in a second memory area of the first data processing unit, said data being transferred to the second data processing unit and being processed thereby, at least one operating function and/or diagnostic function being developed for operating and diagnosing a problem with the printing or copying system (column 14, line 22 to column 15, line 11)".

The special technical features of subject 2 which define the contribution made by claims 18 and 34 to the prior art are as follows:

- at least the second data is transferred with the aid of a "Remote Method Invocation" communication;
- with the aid of the "Remote Method Invocation" communication, statements relating to a "Simple Network Management" protocol are transferred.

The special technical features of subjects 1 and 2 are different. Consequently, the inventions in subjects 1 and 2 are not linked by a single general inventive concept.

**Supplemental Box**  
(To be used when the space in any of the preceding boxes is not sufficient)

Continuation of: Box IV.3.

3. In addition, the inventions in subjects 1 and 2 are not linked by corresponding general special technical features:

- the objective technical problem to be solved by the special technical features in claim 1 can be considered that of reducing the amount of programme data to be transferred (page 4, lines 2 to 6).
- the objective technical problem to be solved by the special technical features in claim 19 can be considered that of securing the communication between the first and second data processing units (page 11, lines 26 to 37).

These problems are different. Consequently, the inventions in subjects 1 and 2 do not involve any **corresponding** special technical features.

4. The inventions in subjects 1 and 2 do not contain any like or corresponding special technical features. There is thus no technical link between those inventions.

Consequently, the requirement for unity of invention (PCT Rule 13.1 and 13.2) is not satisfied.

## INTERNATIONAL PRELIMINARY EXAMINATION REPORT

International application No.

PCT/EP 03/11708

**V. Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement****1. Statement**

Novelty (N)	Claims	1 - 36	YES
	Claims		NO
Inventive step (IS)	Claims	1, 3 - 17	YES
	Claims	2, 18 - 36	NO
Industrial applicability (IA)	Claims	1 - 36	YES
	Claims		NO

**2. Citations and explanations****1. Independent claims 1 and 17**

The subject matter of claims 1 and 17 meets the PCT requirements in respect of novelty and inventive step (PCT Article 33(2) and (3)).

1.1 The subject matter of claims 1 and 17 discloses the fact that the programme data can be stored and read out **independently of the network address**, but does not indicate what network address is meant here.

It is assumed that the programme data is stored in and read out from the archive-buffer memory **independently of the network address of the printer or copier** (page 20, lines 21 to 23).

1.2 The subject matter of claim 1 differs from D1 in that:

1.2.2 with the aid of the operating unit it is checked whether programme data containing the required programme module is contained in an archive-buffer memory of the operating unit in which programme data can be stored and read out

from independently of the network address;

1.2.3 when there is no programme data with the required programme module in the archive-buffer memory, programme data is transferred from a further memory area of the control unit to the operating unit and stored in the archive-buffer memory, instructions in the required programme module being carried out by the operating unit.

The present invention can therefore be considered to address the objective technical problem of reducing the amount of data to be transferred (page 4, lines 2 to 6).

A person skilled in the art concerned with the objective technical problem of interest would seek a solution in the field of client-server methods for data transfer and would thus consult document D2 (column 1, lines 49 to 55).

Document D2 describes the following features:

- a client processing unit which checks whether the client memory already contains the requisite programme modules (column 5, lines 61 to 67; figure 2, 265, figure 3);
- the requisite programme modules that are not present in the client processing unit are transferred from a memory area of the server processing unit (column 6, lines 8 to 33).

Document D2 does not, however, disclose an archive-buffer memory of the operating unit, in which programme data can be stored and read out from

independently of the network address of the printer or copier.

As a result of this archive-buffer memory, it is not necessary to re-transfer the programme data when a second printer of the same design is connected or when the printer has a different network address (page 21, lines 9 to 24).

Although the network address is a generally known parameter which is easy to determine, its specific use in order to reduce the amount of data to be transmitted, as in the application, is not mentioned in D2 or in any other prior art document.

The subject matter of claim 1 thus meets the PCT requirements in respect of novelty and inventive step.

The subject matter of claim 17 corresponds to that of claim 1 and therefore likewise meets the PCT requirements in respect of novelty and inventive step.

2. The present application does not meet the requirements of PCT Article 33(1) because the subject matter of claims 2 and 18 does not involve an inventive step (PCT Article 33(3)).
  - 2.1 The subject matter of claims 2 and 18 discloses a "service and monitoring computer" and an "operating unit", but does not provide any details concerning the technical differences between these units.

Consequently, the "service and monitoring computer"

and the "operating unit" are both regarded as computers with operating and diagnostic functions.

2.2 In comparison with the subject matter of claim 1, the subject matter of claim 2 contains the following features:

2.2.1 a "service and monitoring computer" which is connected to the copier. This feature is known from D1 (D1, column 13, lines 42 to 52; column 14, lines 39 to 49);

2.2.2 the "service and monitoring computer" allows an operator to modify settings and allows the parameterisation of the same operating actions as with the aid of an operating unit connected to the control unit of the copier.

The present invention can thus be considered to address the problem of allowing flexible operation of the copier.

D1 allows an operator to carry out remote diagnosis and remote monitoring of the copier (column 13, lines 7 to 9; figure 17) and more particularly to transfer information to the copier (column 8, lines 43 to 47). D1 also indicates that various operating units ("workstations" figure 1 1 9) can execute Java applets for remote diagnosis and remote monitoring of the copier ("workstation 9", column 7, lines 21 to 23, figure 5, "workstation 1", column 7, lines 37 and 38, figure 7).

In comparison with D1, a person skilled in the art would regard the additional features in claim 2 as a

INTERNATIONAL PRELIMINARY EXAMINATION REPORT

International application No.  
PCT/EP 03/11708

routine design measure.

Consequently, the subject matter of claim 2 does not involve an inventive step (PCT Article 33(3)).

The subject matter of claim 18 corresponds to the subject matter of claim 2 and therefore does not involve an inventive step (PCT Article 33(3)).

3. The present application does not meet the requirements of PCT Article 33(1) because the subject matter of claims 19 and 36 does not involve an inventive step (PCT Article 33(3)).

3.1 The passages of D1 cited in respect of claim 1 are also relevant to the subject matter of claim 19.

D1 also discloses the transfer of SNMP information between the first and second processing units (column 9, lines 11-10; column 11, lines 33 to 37; figure 3 54).

The subject matter of claim 19 therefore differs from that known from D1 in that:  
at least the second data and the SNMP statements are transmitted with the aid of a "Remote Method Invocation" communication.

The application description indicates that "Remote Method Invocation" makes possible secure communication between the processing units (page 11, lines 26 to 37).

The application does not, however, contain any technical details that would make it possible to

**INTERNATIONAL PRELIMINARY EXAMINATION REPORT**

International application No.

PCT/EP 03/11708

achieve this communication security.

Consequently, the subject matter of claim 19 does not make a technical contribution to the prior art and does not involve an inventive step (PCT Article 33(3)). The subject matter of claim 36 corresponds to the subject matter of claim 2 and therefore does not involve an inventive step (PCT Article 33(3)).